

UAS Wealth Advisors
Form CRS Customer Relationship Summary June 2020

Introduction

UAS Wealth Advisors (“UAS”) is registered with the Securities and Exchange Commission (SEC) as an investment adviser. Brokerage and investment advisory services and fees differ, and it is important for you to understand these differences.

Free and simple tools are available to research firms and financial professionals at www.investor.gov/CRS, which also provides educational materials about broker-dealers, investment advisers, and investing.

What investment services and advice can you provide me?

Investment Management: UAS provides professional portfolio management services to assist clients in achieving their financial objectives. UAS gathers client objectives, circumstances, risk tolerance, and preferences to create a long-term portfolio strategy for the client. This strategy is detailed in an Investment Policy Statement (“IPS”). The minimum portfolio size accepted for the Investment Management Services is \$500,000.

Wealth Management: For clients who desire a more comprehensive form of ongoing financial management, UAS provides financial and other planning services under a Wealth Management agreement. UAS focuses on five areas that are most important to our clients. These areas involve investment counseling, wealth enhancement, wealth protection, wealth transfer and legacy building.

Family Office: UAS offers its ultra-high net worth clients a specific service to deal efficiently with great complexities and responsibilities of their wealth referred to as Family Office Services. This service will be negotiated on case-by-case basis.

With rare exception, we manage these advisory accounts on a discretionary basis without material limitation. When engaged on a discretionary basis, we will have the authority, without prior consultation with you (unless you impose restrictions on our discretionary authority), to buy, sell, trade and allocate the investments within your accounts consistent with your investment objectives. We monitor the financial markets daily and review our client accounts semiannually. We do not limit the scope of our investment advisor services to proprietary products or a limited group or type of investment.

For additional information, please see Items 4 and 7 of our Form ADV, 2A Brochure available at:
<https://adviserinfo.sec.gov/firm/summary/132903>

Conversation Starters. Ask your financial professional...

- Given my financial situation, should I choose an investment advisory service? Why or why not?
- How will you choose investments to recommend to me?
- What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?

What fees will I pay?

Investment Management: Fees for Investment Management Services range from 0.25% to 1.2% per year based on assets under management and are paid quarterly, in arrears. UAS requires a minimum fee of \$5,000 per household account; however, this fee is negotiable.

Wealth Management: Fees for ongoing Wealth Management Services range from 0.25% to 1.2% per year based on assets under management and are paid quarterly, in arrears. UAS requires a minimum fee of \$5,000 per household account; however, this fee is negotiable.

Family Office: UAS charges annual retainers that range from 0.25% to 1.50% of the client’s cumulative net worth. These fees are fixed in advance based on multiple factors in order to remove the uncertainty of an expensive process based on hourly billing. There is a \$50,000 minimum annual fee for the Family Office services; this fee is negotiable.

Other fees and Costs: Your investment assets will be held at a qualified custodian (Fidelity, TD Ameritrade or National Advisors Trust Company). Custodians generally charge transaction fees for effecting securities transactions. In addition, mutual funds and exchange traded funds impose certain charges at the fund level (e.g. management fees and other fund expenses). We do not receive any portion of these fees.

It is important to understand that the more assets held in a retail client’s account, the more the client will pay in fees. We therefore have an incentive to encourage a client to increase the assets in his/her account. Some fee arrangements create conflicts of interest described in more detail in our Form ADV, Part 2A. You will pay fees and costs whether you make or lose money on your investments.

Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying.

For additional information, please see Item 5 of our Form ADV, 2A Brochure available at:

<https://adviserinfo.sec.gov/firm/summary/132903>

Conversation Starter. Ask your financial professional...

- Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?

What are your legal obligations to me when providing recommendations as my broker-dealer or when acting as my investment adviser? How else does your firm make money and what conflicts of interest do you have?

When we act as your investment adviser, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the recommendations and investment advice we provide you. Here are some examples to help you understand what this means. The more assets the client has in his/her account, the more we receive in fees. We therefore have an incentive to encourage a client to increase the assets in his/her account. In addition, we may recommend a particular custodian from whom we receive support services and/or products, certain of which assist us to better monitor and service your account, while a portion may be a benefit to the firm.

Conversation Starter. Ask your financial professional...

- How might your conflicts of interest affect me, and how will you address them?

For additional information, please see our Form ADV, 2A Brochure available at:

<https://adviserinfo.sec.gov/firm/summary/132903>

How do your financial professionals make money?

Our financial professionals' compensation consists of a base salary and a component that is based upon the advisory fees we receive from you. In addition, some of our financial professionals are shareholders and therefore share in the firm's profits. You should discuss your financial professional's compensation directly with your financial professional.

Do your financial professionals have legal or disciplinary history?

We are required to disclose all material facts regarding any legal or disciplinary events that would be material to your evaluation of UAS or the integrity of UAS' management. While no financial professional currently working for UAS has a legal or disciplinary history, UAS has the following legal and disciplinary event.

On June 9, 2014, a consent order was entered into settlement of an administrative proceeding initiated by the Securities and Exchange Commission for failing to adopt and implement reasonable best execution policies and supervise an advisory affiliate that entered into an undisclosed compensation arrangement. For additional information, please see Item 9 of our Form ADV, 2A Brochure available at: <https://adviserinfo.sec.gov/firm/summary/132903>

Additionally, you can visit www.investor.gov/CRS for a free and simple search tool to research us and our financial professionals.

Conversation Starter. Ask your financial professional...

- As a financial professional, do you have any disciplinary history? For what type of conduct?

Additional Information

If you would like additional, up-to-date information or a copy of this disclosure or our Form ADV, Part 2A, please call (505) 856-5600.

Conversation Starter. Ask your financial professional...

- Who is my primary contact person? Is he or she a representative of an investment adviser or a broker-dealer? Who can I talk to if I have concerns about how this person is treating me?